

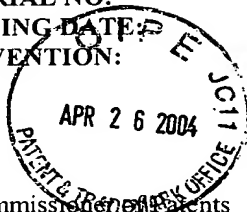
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT:  
SERIAL NO.  
FILING DATE  
INVENTION:

Hosoya et al.  
09/942,008  
August 29, 2001

ATTORNEY DOCKET NO. 09792909-5150  
GROUP ART UNIT: 1745  
EXAMINER: Susy N. Tsang Foster

"CATHODE ACTIVE MATERIAL METHOD FOR PREPARATION THEREOF, NON-AQUEOUS ELECTROLYTE CELL AND METHOD FOR PREPARATION THEREOF"



INFORMATION DISCLOSURE STATEMENT TRANSMITTAL LETTER

Commissioner of Patents  
Alexandria, VA 22313-1450

Sir:

Submitted herewith is an Information Disclosure Statement for consideration in the above-identified application. This Information Disclosure Statement is submitted:

- ☐ Within 3 months (1) of filing date of a national application; (2) of date of entry of the national stage as set forth in 37 C.F.R. §1.491 in an international application; or (3) before the mailing date of a first Office Action on the merits, whichever occurs last. (No fee is required.)
- ☐ After the mailing date of a first Office Action but before (1) mailing of a final action under 37 C.F.R. §1.113; or (2) mailing of a notice of allowance under §1.311, whichever occurs first.
  - ☐ Payment for the fee set forth in 37 C.F.R. §1.17(p) accompanies this submission; or
  - ☐ The certification specified in 37 C.F.R. §1.97(e) is made below. (No fee is required.)
- ☒ After the mailing of (1) a final action under 37 C.F.R. §1.113; or (2) a notice of allowance under 37 C.F.R. §1.311 whichever occurs first, but **before** payment of the issue fee. The certification specified in 37 C.F.R. §1.97(e) is made below. The Commissioner hereby is petitioned to consider the Information Disclosure Statement accompanying this submission. Payment for the Petition fee set forth in 37 C.F.R. §1.17(i)(1) accompanies this submission.
- ☒ The undersigned counsel for applicant(s) hereby certifies each item of information contained in the Information Disclosure Statement was first cited in any communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.
- ☐ The undersigned counsel for applicant(s) hereby certifies that no item of information contained in the Information Disclosure Statement was first cited in any communication from a foreign Patent Office in a counterpart foreign application, or to the knowledge of the undersigned, after making reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c) more than three months prior to the filing of this Information Disclosure Statement.
- ☒ PTO Credit Card Form 2038 in the amount of \$180.00 to cover the required fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Account No. 19-3140. *A duplicate copy of this sheet is enclosed for this purpose.*

Very respectfully,

SONNENSCHN NATH & ROSENTHAL

By David Rozenblat, Reg. 47,044  
David Rozenblat  
Sonnenschein, Nath & Rosenthal LLP  
P.O. Box 061080  
Wacker Drive Station, Sears Tower  
Chicago, Illinois 60606  
Telephone (312) 876-8000

When phoning re this application,  
please call (312) 876-8000

CERTIFICATE OF MAILING

I hereby certify that this Information Disclosure Statement is being deposited with the United States Postal Service in an envelope addressed to the Commissioner of Patents at the United States Patent and Trademark Office, Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450 via First Class Mail on 4/21/04

Roxanne M. Swartz  
Roxanne M. Swartz



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

APPLICANT: Hosoya et al. ATTORNEY DOCKET NO:  
09792909-5150  
SERIAL NO. 09/942,008 GROUP ART UNIT: 1745  
FILING DATE: August 29, 2001 EXAMINER: Susy N. Tsang Foster  
INVENTION: "CATHODE ACTIVE MATERIAL METHOD FOR PREPARATION  
THEREOF, NON-AQUEOUS ELECTROLYTE CELL AND METHOD FOR PREPARATION  
THEREOF"

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT**

Sir:

In accordance with the provisions of 37 C.F.R. § 1.56, Applicants request that citation and examination of the references identified on the attached PTO-1449 form, copies of which are enclosed herewith in accordance with 37 C.F.R. § 1.98, be made during the course of examination of the above-referenced application for United States Letters Patent.

**I. SUBMITTED UNITED STATES PATENT REFERENCES**

<u>Reference</u>	<u>Number</u>	<u>Patentee</u>	<u>Issue Date</u>
------------------	---------------	-----------------	-------------------

**II. SUBMITTED FOREIGN PATENT REFERENCES**

<u>Reference</u>	<u>Number</u>	<u>Country</u>	<u>Date of Publication</u>
A1	01/53198	WO	July 26, 2001
A2	97/40541	WO	October 30, 1997
A3	1 094 532	EP	April 25, 2001
A4	09134725	JP	May 20, 1997

(Abstract Only)

**III. OTHER NON PATENT LITERATURE DOCUMENTS**

**REMARKS**

References A1, A2, A3 and A4 are of record in a search report for counterpart European Patent Application No. EP 01 12 0637. A copy of the Search Report is enclosed.

Submitted by,



(Reg. No. 47,044)

David Rozenblat  
SONNENSCHN NATH & ROSENTHAL  
P.O. Box 061080  
Wacker Drive Station  
Sears Tower  
Chicago, IL 60606  
Telephone: 312/876-8000  
Agent for Applicant(s)

## Form PTO - 1449 (Modified)

FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

ATTY. DOCKET NO.

SERIAL NO.

09792909-5150

09/942,008

APPLICANT

Hosoya et al.

FILING DATE

GROUP

August 29, 2001

1745

INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT

(Use several sheets if necessary)

(37 CFR 1.98 (b))

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	PATENT NUMBER	ISSUE DATE	PATENTEE	CLASS	SUB CLASS	FILING DATE

## FOREIGN PATENT OR PUBLISHED FOREIGN PATENT APPLICATION

		DOCUMENT NUMBER							PUBLICATION DATE	COUNTRY OR PATENT OFFICE	CLASS	SUB CLASS	TRANS- LATION	
													YES	NO
	A1	0	1	5	3	1	9	8	July 26, 2001	WO			X	
	A2	9	7	4	0	5	4	1	October 30, 1997	WO			X	
	A3	1	0	9	4	5	3	2	April 25, 2001	EP			X	
	A4	9	1	3	4	7	2	5	May 20, 1997	JP (Abstract Only)			X	

## OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication)


EXAMINER

DATE CONSIDERED

EXAMINER: Initial citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

(Form PTO-1449)